



Filing ID #10024106

FINANCIAL DISCLOSURE REPORT

Clerk of the House of Representatives • Legislative Resource Center • 135 Cannon Building • Washington, DC 20515

FILER INFORMATION

Name: Harry Arora
Status: Congressional Candidate
State/District: CT04

FILING INFORMATION

Filing Type: Candidate Report
Filing Year: 2018
Filing Date: 07/11/2018

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|-----------------------|--------------------------|-------------------------------|-----------------------|
| Alerian MLP ETF (AMLP) [ST] | JT | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 | None |
| Alphabet Inc. - Class C Capital Stock (GOOG) [ST] | DC | \$1,001 - \$15,000 | Dividends | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Alphabet Inc. - Class C Capital Stock (GOOG) [ST] | | None | Capital Gains | \$5,001 - \$15,000 | None |
| Amgen Inc. (AMGN) [ST] | DC | \$1,001 - \$15,000 | Capital Gains | \$1 - \$200 | \$1 - \$200 |
| Anadarko Petroleum Corporation (APC) [ST] | JT | \$15,001 - \$50,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | \$1 - \$200 |
| Apple Inc Note Call Make Whole 3.85% 08/04/2046 [CS] | SP | \$100,001 - \$250,000 | None | | |
| DESCRIPTION: Note | | | | | |
| Apple Inc. (AAPL) [ST] | DC | \$1 - \$1,000 | Dividends | \$1,001 - \$2,500 | None |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|---------------------------|----------------|-------------------------------|---------------------------|
| Apple Inc. (AAPL) [ST] | | None | Capital Gains | None | \$5,001 - \$15,000 |
| ARCIM Equity Partners, Commodity Trading [OL] | | \$1,000,001 - \$5,000,000 | Partnership | None | None |
| LOCATION: Greenwich, CT, US | | | | | |
| DESCRIPTION: Partnership | | | | | |
| ARCIM GP, Commodity Trading [OL] | | \$250,001 - \$500,000 | Partnership | None | None |
| LOCATION: Greenwich, CT, US | | | | | |
| DESCRIPTION: Partnership | | | | | |
| ARCIM IM Corporation, Investment Advisory [OL] | | \$15,001 - \$50,000 | Partnership | None | \$1,000,001 - \$5,000,000 |
| LOCATION: Greenwich, CT, US | | | | | |
| DESCRIPTION: Partnership | | | | | |
| ARCIM UK, Investment Manager Holding Co. [OL] | | \$1,000,001 - \$5,000,000 | Partnership | None | \$1,000,001 - \$5,000,000 |
| LOCATION: London, GB | | | | | |
| DESCRIPTION: Partnership | | | | | |
| Bank of America [BA] | JT | \$100,001 - \$250,000 | Interest | \$201 - \$1,000 | \$201 - \$1,000 |
| Bank of America Corporation (BAC) [ST] | | None | Dividends | None | \$15,001 - \$50,000 |
| Bank of America Corporation (BAC) [ST] | JT | \$50,001 - \$100,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Blackrock MuniHoldings New Jersey Quality Fund, Inc. (MUJ) [ST] | JT | \$100,001 - \$250,000 | Dividends | None | \$5,001 - \$15,000 |
| Booking Holdings Inc. (BKNG) [ST] | JT | \$50,001 - \$100,000 | Capital Gains | \$5,001 - \$15,000 | None |
| Call Wlmt \$90 EXP 12/15/2017 WBT171215 3228209RL [CS] | | None | Capital Gains | None | \$100,001 - \$1,000,000 |
| DESCRIPTION: Note | | | | | |
| Capital One Financial Corporation (COF) [ST] | | None | Capital Gains, | \$5,001 - | \$1,001 - |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|---------------------------|--------------------------|-------------------------------|-----------------------|
| | | | Dividends | \$15,000 | \$2,500 |
| Cars.com Inc. (CARS) [ST] | DC | \$1 - \$1,000 | Capital Gains, Dividends | \$5,001 - \$15,000 | \$201 - \$1,000 |
| Cash [BA] | | \$50,001 - \$100,000 | None | | |
| Cash [BA] | DC | \$1,001 - \$15,000 | Interest | \$1 - \$200 | \$201 - \$1,000 |
| Cash [BA] | JT | \$1 - \$1,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Celgene Corporation (CELG) [ST] | DC | \$1 - \$1,000 | Capital Gains, Dividends | \$1 - \$200 | \$201 - \$1,000 |
| Citigroup, Inc. (C) [ST] | | None | Capital Gains, Dividends | \$5,001 - \$15,000 | \$201 - \$1,000 |
| CVS Health Corp Note Call Make Whole 3.70% 03/09/2023 [CS] | SP | \$15,001 - \$50,000 | None | | |
| DESCRIPTION: Note | | | | | |
| CVS Health Corporation (CVS) [ST] | JT | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| CVS Health Corporation (CVS) [ST] | DC | \$1 - \$1,000 | Capital Gains, Dividends | \$2,501 - \$5,000 | \$201 - \$1,000 |
| Delta Air Lines, Inc. (DAL) [ST] | DC | \$1 - \$1,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | \$1 - \$200 |
| Eighteen 18 Lake LLC, Real Estate Investment [OL] | JT | \$1,000,001 - \$5,000,000 | Partnership | None | None |
| LOCATION: Greenwich, CT, US | | | | | |
| DESCRIPTION: Partnership | | | | | |
| EOG Resources, Inc. (EOG) [ST] | JT | \$50,001 - \$100,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| FED US TR CS RES INC [BA] | | \$250,001 - \$500,000 | Tax-Deferred | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|-------------------------|--------------------------|-------------------------------|-----------------------|
| Fidelity Government Cash Reserves [BA] | | \$1 - \$1,000 | Tax-Deferred | | |
| Fidelity Government Cash Reserves [BA] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| Fidelity Government Cash Reserves [BA] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| Fidelity Government Cash Reserves [BA] | SP | \$1,001 - \$15,000 | Interest | \$1,001 - \$2,500 | \$5,001 - \$15,000 |
| Fidelity Government Money Market [BA] | DC | \$1,001 - \$15,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Fidelity Government Money Market [BA] | DC | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | \$1,001 - \$2,500 |
| Fidelity Treasury Only Money Market FD [BA] | DC | \$1,001 - \$15,000 | Capital Gains | None | \$5,001 - \$15,000 |
| Fidelity Treasury Only Money Market FD [BA] | | \$1 - \$1,000 | Tax-Deferred | | |
| FIMM Treasury Only Portfolio: CL I [GS] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Freeport McMoran Inc Note Call Make Whole 5.45% 03/15/2043 [CS] | SP | \$50,001 - \$100,000 | None | | |
| DESCRIPTION: Note | | | | | |
| General Motors Company (GM) [ST] | | None | Capital Gains, Dividends | \$15,001 - \$50,000 | \$5,001 - \$15,000 |
| Gilead Sciences, Inc. (GILD) [ST] | DC | \$1 - \$1,000 | Dividends | None | \$1 - \$200 |
| HSBC India [BA] | JT | \$1,001 - \$15,000 | None | | |
| Humana Inc. (HUM) [ST] | JT | \$50,001 - \$100,000 | Capital Gains, Dividends | \$2,501 - \$5,000 | \$1 - \$200 |
| Intercontinental Exchange Inc. (ICE) [ST] | | None | Capital Gains | \$15,001 - \$50,000 | None |
| Invesco QQQ Trust, Series 1 (QQQ) [ST] | JT | \$500,001 - \$1,000,000 | Dividends | \$1 - \$200 | None |
| iShares 20+ Year Treasury Bond ETF (TLT) [ST] | | \$15,001 - \$50,000 | Tax-Deferred | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|-------------------------|----------------|-------------------------------|-----------------------|
| iShares iBoxx \$ High Yield Corporate Bond ETF (HYG) [ST] | SP | \$50,001 - \$100,000 | Dividends | \$201 - \$1,000 | None |
| iShares MSCI EAFE ETF (EFA) [ST] | DC | \$500,001 - \$1,000,000 | Dividends | None | \$5,001 - \$15,000 |
| iShares MSCI EAFE ETF (EFA) [ST] | | \$15,001 - \$50,000 | Tax-Deferred | | |
| iShares MSCI EAFE ETF (EFA) [ST] | | \$100,001 - \$250,000 | Dividends | \$5,001 - \$15,000 | \$15,001 - \$50,000 |
| iShares Nasdaq Biotechnology Index Fund (IBB) [ST] | | \$100,001 - \$250,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| iShares Nasdaq Biotechnology Index Fund (IBB) [ST] | DC | \$100,001 - \$250,000 | Dividends | None | \$1,001 - \$2,500 |
| iShares Russell 1000 ETF (IWB) [ST] | DC | \$250,001 - \$500,000 | Dividends | \$1,001 - \$2,500 | \$2,501 - \$5,000 |
| iShares Russell 2000 ETF (IWM) [ST] | JT | \$15,001 - \$50,000 | Dividends | \$1 - \$200 | \$201 - \$1,000 |
| Janus Henderson SG Global Quality Income ETF (SGQI) [ST] | | None | Dividends | \$1,001 - \$2,500 | \$5,001 - \$15,000 |
| Kraft Heinz Foods CO Note Call Make Whole 5.20% 07/15/2045 [CS] | SP | \$100,001 - \$250,000 | None | | |
| DESCRIPTION: Note | | | | | |
| Limited Brands Inc Bond Call Make Whole 6.95% 03/01/2033 [CS] | JT | \$50,001 - \$100,000 | Interest | \$2,501 - \$5,000 | \$2,501 - \$5,000 |
| DESCRIPTION: Bond | | | | | |
| LyondellBasell Industries NV Ordinary Shares Class A (LYB) [ST] | JT | \$100,001 - \$250,000 | Capital Gains | \$5,001 - \$15,000 | None |
| Macys Retail Hldgs Inc 2.875% 02/15/2023 GTDSR NT [CS] | SP | \$50,001 - \$100,000 | None | | |
| DESCRIPTION: Note | | | | | |
| Macys Retail Hldgs Inc 5.125% 01/15/2045 SR NT ISIN | SP | \$15,001 - \$50,000 | None | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|-------------------------|--------------------------|-------------------------------|-------------------------|
| #US55616XAG25 [CS] | | | | | |
| DESCRIPTION: Note | | | | | |
| Microsoft Corp Bond Call Make Whole 3.75% 05/01/2043 ISIN #US594918AU80 S [CS] | SP | \$50,001 - \$100,000 | None | | |
| DESCRIPTION: Bond | | | | | |
| Microsoft Corp Note Call Make Whole 2.70% 02/12/2025 [CS] | JT | \$100,001 - \$250,000 | Interest | None | \$2,501 - \$5,000 |
| DESCRIPTION: Note | | | | | |
| Minnesota Life Insurance Whole Life [WU] | | \$50,001 - \$100,000 | Tax-Deferred | | |
| Morgan Stanley Emerging Markets Domestic Debt Fund, Inc. Morgan Stanley Emerging Markets Domestic De (EDD) [ST] | | | | | |
| Morgan Stanley Emerging Markets Domestic Debt Fund, Inc. Morgan Stanley Emerging Markets Domestic De (EDD) [ST] | | \$250,001 - \$500,000 | Dividends | \$5,001 - \$15,000 | None |
| Morgan Stanley Emerging Markets Domestic Debt Fund, Inc. Morgan Stanley Emerging Markets Domestic De (EDD) [ST] | JT | \$100,001 - \$250,000 | None | \$5,001 - \$15,000 | \$15,001 - \$50,000 |
| NH Aggressive Growth [5P] | | \$50,001 - \$100,000 | Tax-Deferred | | |
| LOCATION: NH | | | | | |
| NH Aggressive Growth [5P] | | \$15,001 - \$50,000 | Tax-Deferred | | |
| LOCATION: NH | | | | | |
| NH Aggressive Growth [5P] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| LOCATION: NH | | | | | |
| Nordstrom, Inc. (JWN) [ST] | | None | Capital Gains, Dividends | \$5,001 - \$15,000 | \$1,001 - \$2,500 |
| Northlander LLC, Investment Manager (Spouse is COO) [OL] | | \$500,001 - \$1,000,000 | Partnership | None | \$100,001 - \$1,000,000 |
| LOCATION: London, GB | | | | | |
| DESCRIPTION: Partnership | | | | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|-----------------------|--------------------------|-------------------------------|-----------------------|
| Northwestern Mutual [WU] | | \$50,001 - \$100,000 | Tax-Deferred | | |
| Nuveen Connecticut Quality Municipal Income Fund (NTC) [ST] | JT | \$100,001 - \$250,000 | None | | |
| PayPal Holdings, Inc. (PYPL) [ST] | | None | Capital Gains | \$15,001 - \$50,000 | None |
| Pepsico, Inc. (PEP) [ST] | DC | \$1 - \$1,000 | Capital Gains, Dividends | \$5,001 - \$15,000 | \$1,001 - \$2,500 |
| PIMCO Long Term Credit Fund Instl [MF] | JT | \$100,001 - \$250,000 | Dividends | \$1,001 - \$2,500 | None |
| PIMCO Long Term Credit Fund Instl [MF] | | \$250,001 - \$500,000 | Dividends | \$5,001 - \$15,000 | \$15,001 - \$50,000 |
| ProLogis, Inc. (PLD) [ST] | | None | Capital Gains, Dividends | \$5,001 - \$15,000 | \$1,001 - \$2,500 |
| Raytheon Company (RTN) [ST] | DC | \$1,001 - \$15,000 | None | | |
| Royce Value Trust, Inc. (RVT) [ST] | | \$15,001 - \$50,000 | Tax-Deferred | | |
| Southwest Airlines Company (LUV) [ST] | DC | \$1 - \$1,000 | None | | |
| SPDR S&P 500 (SPY) [ST] | JT | \$100,001 - \$250,000 | None | | |
| SPDR S&P 500 (SPY) [ST] | | \$100,001 - \$250,000 | Tax-Deferred | | |
| SPDR S&P 500 (SPY) [ST] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| SPDR S&P 500 (SPY) [ST] | | \$100,001 - \$250,000 | Tax-Deferred | | |
| SPDR S&P 500 (SPY) [ST] | | \$100,001 - \$250,000 | Tax-Deferred | | |
| SPDR S&P 500 (SPY) [ST] | | \$1,001 - \$15,000 | Tax-Deferred | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|---------------------------|--------------------------|-------------------------------|-----------------------|
| SPDR S&P 500 (SPY) [ST] | | None | Capital Gains | None | \$5,001 - \$15,000 |
| SPDR S&P 500 (SPY) [ST] | DC | \$1,000,001 - \$5,000,000 | Dividends | \$5,001 - \$15,000 | \$5,001 - \$15,000 |
| SPDR S&P 500 (SPY) [ST] | JT | \$1,000,001 - \$5,000,000 | Dividends | \$5,001 - \$15,000 | \$5,001 - \$15,000 |
| SPDR S&P Retail ETF (XRT) [ST] | DC | \$250,001 - \$500,000 | Dividends | \$1,001 - \$2,500 | \$2,501 - \$5,000 |
| SPDR Select Sector Fund - Energy Select Sector (XLE) [ST] | DC | \$500,001 - \$1,000,000 | Dividends | \$201 - \$1,000 | \$1,001 - \$2,500 |
| Sprint Corp Note Call Make Whole 7.875% 09/15/2023 [CS] | | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 | \$2,501 - \$5,000 |
| DESCRIPTION: Note | | | | | |
| Sprint Nextel Corp Note Call Make Whole 6.00% 11/15/2022 [CS] | SP | \$1,001 - \$15,000 | None | | |
| DESCRIPTION: Note | | | | | |
| Sprint Nextel Corp Note Call Make Whole 6.00% 11/15/2022 [CS] | SP | \$1,001 - \$15,000 | None | | |
| DESCRIPTION: Note | | | | | |
| T Rowe Price Blue Chip Growth Inc [MF] | JT | \$15,001 - \$50,000 | Dividends | None | \$1 - \$200 |
| TEGNA Inc (TGNA) [ST] | DC | \$1 - \$1,000 | Capital Gains, Dividends | \$1 - \$200 | \$1 - \$200 |
| Telecom Italia Cap Note Call Make Whole 6.375% 11/15/2033 ISIN #US87927VA58 [CS] | JT | \$1,001 - \$15,000 | Interest | None | \$201 - \$1,000 |
| DESCRIPTION: Note | | | | | |
| TENET Healthcare Corp Note 80125% 04/01/2022 Call Make Whole [CS] | | \$1,001 - \$15,000 | Tax-Deferred | | |
| DESCRIPTION: Note | | | | | |
| TEVA Pharmaceutical FIN NETH NOTE 3.15% 10/01/2026 Call Make Whole [CS] | JT | \$50,001 - \$100,000 | None | | |
| DESCRIPTION: Note | | | | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|---------------------------|--------------------------|-------------------------------|-----------------------|
| The Kraft Heinz Company (KHC) [ST] | DC | \$1 - \$1,000 | Capital Gains | \$5,001 - \$15,000 | None |
| Twitter, Inc. (TWTR) [ST] | | None | Capital Gains | \$15,001 - \$50,000 | None |
| U.S. Global Jets ETF (JETS) [ST] | JT | \$100,001 - \$250,000 | None | | |
| Under Armour, Inc. Class C (UA) [ST] | DC | \$1 - \$1,000 | Capital Gains, Dividends | \$2,501 - \$5,000 | \$1,001 - \$2,500 |
| United Parcel Service, Inc. (UPS) [ST] | | None | Capital Gains, Dividends | \$2,501 - \$5,000 | \$1,001 - \$2,500 |
| United States Treas Note 2.25% 02/29/2020 [CS] | SP | \$50,001 - \$100,000 | None | | |
| DESCRIPTION: Note | | | | | |
| United States Treas Note 2.25% 02/29/2020 [CS] | SP | \$50,001 - \$100,000 | None | | |
| DESCRIPTION: Note | | | | | |
| United States Treas NTS Note 2.0% 07/31/2022 [CS] | JT | \$50,001 - \$100,000 | Interest | \$201 - \$1,000 | \$2,501 - \$5,000 |
| DESCRIPTION: Note | | | | | |
| United Technologies Corporation (UTX) [ST] | | None | Capital Gains, Dividends | \$5,001 - \$15,000 | \$1,001 - \$2,500 |
| UnitedHealth Group Incorporated Common Stock (UNH) [ST] | | None | Capital Gains, Dividends | \$5,001 - \$15,000 | \$1 - \$200 |
| US Treasury Bill [GS] | | \$1,000,001 - \$5,000,000 | Interest | \$5,001 - \$15,000 | \$15,001 - \$50,000 |
| Vanguard FTSE Emerging Markets ETF (VWO) [ST] | | None | Capital Gains | None | \$15,001 - \$50,000 |
| Vanguard FTSE Emerging Markets ETF (VWO) [ST] | JT | \$250,001 - \$500,000 | Dividends | None | \$1,001 - \$2,500 |
| Vanguard High Dividend Yield ETF (VYM) [ST] | | None | Dividends | None | \$5,001 - |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|-----------------------|--------------------------|-------------------------------|-----------------------|
| | | | | | \$15,000 |
| Vanguard Intermediate-Term Corporate Bond ETF (VCIT) [ST] | | None | Dividends | None | \$5,001 - \$15,000 |
| Vanguard Intermediate-Term Corporate Bond ETF (VCIT) [ST] | JT | \$100,001 - \$250,000 | Dividends | \$2,501 - \$5,000 | None |
| Vanguard Small-Cap ETF (VB) [ST] | DC | \$250,001 - \$500,000 | Dividends | None | \$201 - \$1,000 |
| Vanguard Small-Cap ETF (VB) [ST] | | \$15,001 - \$50,000 | Tax-Deferred | | |
| Verizon Communications Inc. (VZ) [ST] | | None | Capital Gains, Dividends | \$2,501 - \$5,000 | \$2,501 - \$5,000 |
| Walmart Inc. (WMT) [ST] | DC | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Walt Disney Company (DIS) [ST] | DC | \$1 - \$1,000 | None | | |
| Weatherford INTL LTD Note Call Make Whole 7.75% 06/15/2021 [CS] | SP | \$50,001 - \$100,000 | None | | |
| DESCRIPTION: Note | | | | | |
| Williams Companies, Inc. (WMB) [ST] | | None | Capital Gains | None | \$5,001 - \$15,000 |

* For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE C: EARNED INCOME

| Source | Type | Amount Current Year to Filing | Amount Preceding Year |
|--|---------------|-------------------------------|-----------------------|
| Arcim Advisors, LLC Greenwich, CT | Salary | \$16,667.00 | \$49,999.00 |
| Northlander Commodity Advisors, Greenwich CT | Spouse Salary | \$443,750.00 | \$491,425.00 |

SCHEDULE D: LIABILITIES

| Owner Creditor | Date Incurred | Type | Amount of Liability |
|-----------------------------|---------------|----------|-------------------------|
| JT Dovenmuehle Mortgage Inc | August 2003 | Mortgage | \$500,001 - \$1,000,000 |

SCHEDULE E: POSITIONS

| Position | Name of Organization |
|-----------------|----------------------|
| Managing Member | Arcim Advisors, LLC |
| Managing Member | Arora IM Corporation |
| Managing Member | Arcim UK |

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

None disclosed.

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

Trusts: Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

Yes No

Exemption: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

Yes No

CERTIFICATION AND SIGNATURE

I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: Harry Arora , 07/11/2018